

**IN THE UNITED STATES DISTRICT COURT
FOR THE NORTHERN DISTRICT OF ILLINOIS**

**U.S. COMMODITY FUTURES TRADING
COMMISSION,**

Plaintiff,

v.

MONEX,

Defendants.

Hon. _____

Case No. 1:17-cv-06416

**APPENDIX OF EXHIBITS TO PLAINTIFF'S MOTION
FOR PRELIMINARY INJUNCTION**

VOLUME II

EXHIBIT	DOCUMENT DESCRIPTION
Monex Customer Declarations	
4	DECLARATION OF MONEX CUSTOMER IMAN BAR
A	Atlas Account Agreement
B	Monex Customer Statements
C	Final Check Received From Monex
5	DECLARATION OF MONEX CUSTOMER SUZANNE CAPPELLO
A	Atlas Account Agreement
B	Monex Customer Statements
C	May 2, 2014 Letter To Jeremy Sellers
D	January 7, 2015 Letter From Harvey Kochen
E	JAMS Arbitration Demand
F	JAMS Arbitration Notice
G	Email Chain Between S. Cappello And T. Pistone
H	January 7, 2016 Letter From JAMS Titled "Appointment of Arbitrator"
6	DECLARATION OF MONEX CUSTOMER PERSON COTTON

EXHIBIT	DOCUMENT DESCRIPTION
7	DECLARATION OF MONEX CUSTOMER YVONNA GOLLA
A	Monex Customer Statements
8	DECLARATION OF MONEX CUSTOMER SUSAN HADDEN
A	Monex Customer Statements
9	DECLARATION OF MONEX CUSTOMER CANDICE HUBERT
A	November 8, 2012 Receipt Of Funds
B	Monex Customer Statements
C	December 19, 2015 Letter To Greg Walker
10	DECLARATION OF MONEX CUSTOMER SHEENA LIU
A	Records Of All Trades In Monex Account
B	Monex Customer Statements
C	Complaint Letter To Monex
D	Email Chain Between S. Liu And Christina Carabini
E	October 3, 2016 Email From Greg Walker
11	DECLARATION OF MONEX CUSTOMER GREGORY MCLAUGHLIN
A	Monex Customer Statements
12	DECLARATION OF MONEX CUSTOMER CHRISTINE MUSTAZZA
A	Monex Customer Statements
B	August 26, 2013 Letter From Christopher Wright
C	February 4, 2014 Letter From Dan Wales
D1	Audio Recording Of February 2016 Phone Call
D2	Transcript Of Audio Recording Of February 2016 Phone Call
E	Notes From May 11, 2016 Phone Call
F1	Audio Recording Of May 31, 2016 Phone Call
F2	Transcript Of Audio Recording Of May 31, 2016 Phone Call
G1	Audio Recording Of June 23, 2016 Phone Call
G2	Transcript Of Audio Recording Of June 23, 2016 Phone Call
13	DECLARATION OF MONEX CUSTOMER ELISA PUGLIESE
A	Monex Customer Statements
B	February 22, 2013 Email From E. Pugliese To C. Carabini
C	April 1, 2013 Letter From Harvey Kochen
Investigative Testimony Excerpts	
14	EXCERPT OF INVESTIGATIVE TESTIMONY OF LOUIS CARABINI (MONEX FOUNDER, OWNER)
15	EXCERPT OF INVESTIGATIVE TESTIMONY OF MICHAEL CARABINI (MONEX CEO, OWNER)

EXHIBIT	DOCUMENT DESCRIPTION
16	EXCERPT OF INVESTIGATIVE TESTIMONY OF DARRELL HAMILTON (MONEX HEAD OF IT)
17	EXCERPT OF INVESTIGATIVE TESTIMONY OF RICHARD LOTTI (BRINKS)
18	EXCERPT OF INVESTIGATIVE TESTIMONY OF JON POTTS (DELAWARE DEPOSITORY)
19	EXCERPT OF INVESTIGATIVE TESTIMONY OF THOMAS SAUCHELLI (FARMERS & MERCHANTS)
20	EXCERPT OF INVESTIGATIVE TESTIMONY OF ROBERT CASTLE (BANK OF NEW YORK)
21	EXCERPT OF INVESTIGATIVE TESTIMONY OF RONALD SMOLER (MONEX HEAD OF TRADING)
22	EXCERPT OF INVESTIGATIVE TESTIMONY OF CHRISTOPHER FLANNERY (PIPER JAFFREY)
23	EXCERPT OF INVESTIGATIVE TESTIMONY OF DAVID GALA (MONEX SALES / TRAINING SUPERVISOR)
24	EXCERPT OF INVESTIGATIVE TESTIMONY OF MICHAEL MARONEY (MONEX HEAD OF SALES)